Library Services and Technology Act (LSTA)
Information and Guidelines
PL 108-81, As Amended

2007 Program Year Funds
Oct. 1, 2006 – Sept. 30, 2007
(2-Year Grant Program Period Ends 9/30/08)

INTRODUCTION

The Institute of Museum and Library Services (IMLS) distributes Library Services and Technology Act (LSTA) funds. **The Museum and Library Services Act of 1996 (P.L. 104-208)** created IMLS (*www.imls.gov*).

These guidelines cover Program Year 2007 LSTA funds awarded to South Carolina. The South Carolina State Library (SCSL) is the administering agency. The State Librarian is the Chief Officer.

The Federal Fiscal Year (FFY) 2007 Consolidated Appropriations Act provides LSTA funds for dispersal to every state. State libraries may use these funds to support statewide initiatives and services and may distribute funds through sub grant competitions or cooperative agreements to public, academic, research, school and special libraries in their states. SC State Library targets its LSTA sub grants to SC's public libraries and its partner organizations. **Program year 2007 funds are for the two-year period beginning October 1, 2006 and ending September 30, 2008.**

LSTA LEGISLATION

Under (P.L. 108-81, as amended) LSTA of 2003 [H.R. 13] there are six federal purposes for which state libraries may use state-based LSTA funds.

Federal Purposes

1) Expand services for learning and access to information and educational resources in a variety of formats, in all types of libraries, for individuals of all ages;

2) Develop library services that provide all users access to information through local, state, regional, national, and international electronic networks;

3) Provide electronic and other linkages between and among all types of libraries;

4) Develop public and private partnerships with other agencies and community-based organizations;

5) Target library services to individuals of diverse geographic, cultural, and socioeconomic backgrounds, to individuals with disabilities, and to individuals with limited functional literacy or information skills; and

6) Target library and information services to persons having difficulty using a library and to underserved urban and rural communities, including children from families with incomes below the poverty line.

Only projects supporting the federal purposes and SCSL's LSTA Five-Year Plan State Goals (http://www.statelibrary.sc.gov/docs/related/lstaplan03.pdf) **are considered for funding.**

State Goals

GOAL I: Enhance the informational services environment of South Carolinians by improving access to library resources and materials through the development of sophisticated resource sharing, and superior guidance and training of professional librarians and support staff for south Carolina libraries, with special emphasis on staff in underserved urban and rural communities.

GOAL II: Further the development of public library services and programs through continued support and guidance for South Carolina's public library directors, staff, boards of trustees, and friends groups, to improve the quality of library service within each community served.

GOAL III: Encourage the adoption and implementation of a statewide marketing plan through a centrally organized and professional team of library and non-library staff members that promote general library concepts and usage for all rural and underserved urban communities.

GOAL IV: Foster the development of initiatives and strategies through partnerships and the establishment of library cooperatives and consortia to improve utilization of resources, collections, and services in South Carolina libraries.

FUNDING PRIORITIES FOR SC's 2007 LSTA SUB GRANT FUNDS

Although any sub grant proposal supporting one or more of South Carolina's Five-Year Plan objectives and/or one or more of the six federal LSTA purposes is considered for funding, projects supporting the following statewide initiatives will receive priority consideration for Program Year 2007 funding:

- South Carolina Libraries 2.0 (training, support for new programs and services, community analysis, cooperation and partnerships, etc.)
- Every Child Ready to Read @ your library
- 2007 Summer Reading Program
- Literary arts programming in South Carolina's public libraries
- "SConnects at the Library" statewide union catalog
- DISCUS-South Carolina's Virtual Library
- Digitization of SC materials

LSTA GRANT CYCLE CALENDAR

DATE	CALENDAR YEAR	ACTIVITY
10-1	2006	• 2007 Federal Fiscal Year Begins • 2007 Two-Year (10/1/06 – 9/30/08) Grant Award Period Begins
Jan -June	2007	• Submit 2006 reimbursement requests
2-28	2007	• Project Proposals due for 2007 funds
3-31	2007	• LSTA Proposal Review Committee makes selections
4-30	2007	• Final Applications due for 2007 funds
5-31	2007	• Awards issued for 2007 funds
July – Aug	2007	• Submit 2006 and/or 2007 reimbursement requests
9-1	**2007**	• **Last day to submit 2006 reimbursement requests**
9-30	2007	• LSTA 2006 Two-Year Grant Award Period Ends • 2007 Federal Fiscal Year Ends
10-1	2007	• 2008 Federal Fiscal Year Begins • 2008 Two-Year (10/1/07– 09/30/09) Grant Award Period Begins
10-31	2007	• Final Evaluation Reports due for 2006 projects
11-30	2007	• Interim Evaluation Reports due for 2007 projects
Jan-Aug	2008	• Submit 2007 reimbursement requests
9-1	**2008**	• **Last day to submit 2007 reimbursement requests**
9-30	2008	• LSTA 2007 Two-Year Grant Award Period Ends • FY 2008 Federal Fiscal Year Ends
10-1	2008	• 2009 Federal Fiscal Year Begins • 2009 Two-Year (10/1/08 – 9/30/10) Grant Award Period Begins
10-31	2008	• Final Evaluation Reports due for 2007 projects

SUB GRANTS AND SUB GRANTEE ELIGIBILITY REQUIREMENTS

Types of Sub Grants

Funds are distributed through three types of sub grants:

1. **Competitive** – Available for a short time period and subject to application deadlines.

2. **Discretionary** -- Only Continuing Education (CE) Grants are discretionary (without deadlines, available throughout a funding cycle and subject to the availability of funds).

3. **Cooperative Agreements** – Available to organizations (state institutional, academic, school or special libraries, non-profits and state agencies) engaged in collaborative projects with SCSL.

LSTA funds may cover up to 66% (federal share) of the total cost of a sub grant project. Sub grantees must provide 34% (match) from non-Federal, State, local or other non-federal entities (including corporations and foundations). In-kind support may be used but a cash match is preferred.

General Eligibility Requirements

Public Libraries must:	• Meet State Aid requirements • Provide free access to Interlibrary Loan services • Certify compliance with CIPA
Non-Profit Organizations, State Agencies and Other Libraries must:	• Support/complement the goals of public libraries, SCSL statewide initiatives and LSTA • Comply with applicable CIPA requirements
State Residential Institutional Libraries must also:	• Have full time staff, an organized collection, adequate space, a materials budget, and a minimum of 20 hours of service per week • Submit statistical data to SCSL annually • Provide some opportunity for service to the public or have a strong commitment to resource sharing
Elementary and Secondary School Library-Media Centers must also:	• Be a SC public school or a private school accredited by the Southern Association of Colleges and Schools or a federal/state school
Academic Libraries must:	• Be a SC public college/university or an independent college/university with non-profit status • Submit statistical data to SCSL annually • Provide some opportunity for service to the public or have a strong commitment to resource sharing
Special Libraries must:	• Have full-time staff and an organized collection • Provide some opportunity for service to the public or have a strong commitment to resource sharing • Comply with applicable CIPA requirements

Children's Internet Protection Act (CIPA)

Sub grantees must observe all applicable federal, state, and local laws/regulations and must certify compliance with the Children's Internet Protection Act (CIPA). Libraries that receive services at discount rates under section 254(h)(6) of the Communications Act of 1934 certify compliance under the E-Rate program and do not have to provide an additional certification.

SUB GRANT AWARD PROCESS

Proposal Review Committee

Neither the preparation nor the submission of a sub grant proposal or application guarantees approval or funding. SCSL's LSTA Proposal Review Committee selects projects for LSTA funding. The Federal Grant Manager notifies applicants of Committee decisions. Candidates selected are given a deadline for submission of an official application. *(The Committee consists of the State Librarian, Federal Grant Manager, Director of Library Development Services, Director of Statewide Library Services, Library Development Consultants and a representative from a public library, a partner organization and the University of SC's School of Library and Information Science.)*

Grant Award Contract

Upon approval of a project application, an official Grant Award Contract, signed by the State Librarian, is sent to a sub grantee (recipient is the library or other organization, not an individual). *(See sample award notification form)* The award is a binding contract between the recipient and SCSL whereby the recipient is agreeing that: (a) funds will be expended as outlined in the approved application; (b) funds will not be used to reduce local tax funding; (c) activities carried out and costs charged to the award will be made during the grant period identified by the award contract; and (d) recipient will abide by all requirements of the contract, by all LSTA statutory and regulatory requirements and by all SCSL LSTA program guidelines.

PROJECT APPLICATION PROCESS

Project applications and other forms are available online at the SCSL web site.

SCSL Staff Contacts

Public library staffs may contact Library Development Services consultants for guidance on selection and development of sub grant projects. Direct questions or concerns about LSTA requirements/administration to the Federal Grant Manager. *(State Library staff contact information by department is available on SCSL's web site.)*

Step 1 – Project Proposal

The call for proposals is issued no later than February. **Mail, fax or email proposals to the Federal Grant Manager.** Limit proposals to two (2) pages or less and include only the following:

- Contact information
- Project Title
- Relevant LSTA Purpose
- Relevant Five Year Plan State Goal
- Project Timeline (Start/End Dates)
- General Summary of Project Purpose, Service Need, Target Group, Primary Service and Expected Benefit(s)/Outcome(s)
- Preliminary Budget Proposal that includes targeted estimates for planned expenditures with the total project cost *[LSTA funds (66%); local matching funds (34%) required)].*

Step 2 – Completing the Project Application
(For successful proposal applicants only)

Complete, sign and mail an original signature copy of the 2007 LSTA Project Application form to the Federal Grant Manager. The following information must be provided:

- **Sub-Grant Project Title.** Give your project a title.

- **Name, Address, Telephone Number and E-mail** of (a) Applicant (b) Project Administrator (c) Fiscal Officer *(Applicant is the library, agency, organization or other qualifying institution)*

- **Congressional District(s)** served by the project

- **Number of Persons Targeted.** Calculate the estimated percentage and provide the number of people likely to be impacted by your project. **Avoid citing the entire population of a county, town, or state.**

- **Evaluation Methods**. Indicate the evaluation process(s) that will be used to document the success of the project. *(Whenever applicable, outcome based evaluation [OBE] is preferred.)*

- **Budget.** Indicate LSTA funds requested and matching funds—**34% match is required**.

To complete the sub grant application process, you must provide a project narrative *(Note: SCSL will request additional information and supportive documentation as needed.)*

The following information must be provided:

1. **Your Project Title**

2. **Five–Year Plan State Goal.** Select the one that best characterizes your project and document your project's relationship to it.

3. **LSTA Federal Purpose.** Select the one that best characterizes your project and document your project's relationship to it.

   Service Need, Description of Target Group and Project Purpose. Describe the need for your project. **Inadequate financial resources is a given**, focus on the target group, their unmet needs and resources, services and/or programs that your project will deliver to meet those needs. **Describe your target group and provide an estimated number.** For example, if your project is designed to serve specific populations, such as children or the elderly, base the estimate on that particular group's percentage of the total library service population. **DO NOT use the total estimated population of a service area or the entire population of a county, town, or state.** Calculate the estimated percentage/likely to be impacted by your project. **Your project** purpose **should answer the questions:** *what we do, for whom and for what expected outcome or benefit.*

4. **Goal(s), Service Objective(s), Activities and Methods.**

   Quantitative objectives are preferred, but qualitative objectives may be utilized. *Examples: How many workshops are to be conducted? How is the service to be promoted?* Outline activities and identify each in relationship to its objective. Describe methods that will be used to carry out those activities. Describe the available resources for carrying out your project, such as library materials, equipment, facilities, staff, etc.

   Include a timeline. It is not necessary to map out a timeline for every single project activity. Your timeline should **document critical project events** and must coincide with the LSTA two-year grant cycle period Oct 1, 2006 – September 30, 2008).

5. **Partnerships**. Describe the procedures that will be used to involve library users, potential users and other collaborative partners (e.g., local community groups or local school districts). Vendors paid for services/products are not partners. **If partnership development is not suitable for your project, briefly explain.**

Step 3: - Writing the Project Narrative (continued)

6. **Budget documentation and justification.**
   - Show the total cost of your project (this is the sum of the requested LSTA funds plus your matching funds)
   - Include funds from all sources
   - **Specify exact amounts for cash vs. in-kind** *(value of goods/services to be provided by the applicant)*
   - Provide a detailed listing by source of funds of all anticipated project expenditures (e.g., personnel, library materials, equipment, etc.)
   - For equipment, include the name of the item, the number of items to be purchased, the estimated per unit cost of each item and the total cost. *Note: Items of equipment costing $5,000 or greater with more than one year of usable life may be purchased with grant funds only upon approval by IMLS and SCSL.*

7. **Marketing Plan**. Describe the specifics for promoting use and awareness of services/resources to be provided by your LSTA funded project. Incorporate these major activities into your project timeline. **IMLS requires public acknowledgement of all project activities supported by LSTA funds**. Acknowledgement must be present on all related publications and must be given orally at any related promotional events.

8. **Evaluation Plan.** Describe the methodology/evaluation process(s) that will be used to document how well your LSTA project has met its goals and objectives and how it has benefited your target population. Include a description of methodologies to be used (e.g., survey(s), pre- and post-test(s) given in training, or other systematic measures of intended outcomes). Include methodology for obtaining statistical data or outputs (i.e., products created or delivered, people served, activities and services carried out). Outputs are almost always numbers.

   Outcome based evaluation (OBE) is the preferred evaluation method. OBE documents success in terms of the benefits created for individuals (change in the target audience's skills, knowledge, behavior, attitude, status or life condition brought about in part by experiencing the project). Outcomes are the "people" or what happened because of the outputs. **If OBE is not suitable for your project, briefly explain why.**

9. **Continuation of services resulting from your LSTA project**. Describe your plans for continuing services/resources after the expiration of federal aid.

CONGRATULATIONS, YOU'RE AN LSTA RECIPIENT! NOW WHAT?

Answers to Frequently Asked Questions

NOTE: The LDS consultant assigned to assist you with your sub grant proposal will also provide guidance throughout the life of your LSTA project. The Federal Grant Manager may be contacted for assistance at any time.

1) **What else should I know about meeting the 34% matching requirement?**
   All cash and in-kind contributions to a project that are provided by the sub grantee or by a third party are acceptable as the grantee's cost sharing when contributions are: (a) verifiable from the grantee's records; (b) not included as contributions from any other federally-assisted program; (c) necessary and reasonable for the proper and efficient accomplishment of project objectives; (d) the types of charges that would be allowable under the applicable federal cost principles; (e) used to support activities that are included in the approved project work plan; and (d) incurred during the grant period.

2) **Are there restrictions on the expenditure of LSTA funds?**
   - Funds may be expended only for the purposes and activities for which the sub-grant is awarded.
   - Funds may not be obligated or expended prior to the award date shown on the award contract.
   - Funds must be obligated and expended during the federal two-year grant period cycle *(for Program Year 2007 this means by or before September 1, 2008)*.
   - Expenditures must comply with the federal cost principles. **Reimbursement requests for <u>unallowable costs</u> are denied as are those accompanied by invoices dated prior to the award contract date or after the end of the two-year grant cycle period.**

3) **May I make changes to my project activities or budget?**
   Yes, but only after receiving prior approval in writing from SCSL. **Send your revision requests to the Federal Grant Manager.** Grant funds may not be expended for unapproved changes. **Avoid the pitfall of making changes that may invalidate your award contract.** Some examples of project changes that require approval:
   - A change in your project's scope or objectives
   - Budget revisions of any kind (complete the form ***Request for Transfers or Revisions in LSTA Project Budgets***)
   - Changes in key administrative and/or programmatic project personnel
   - Obtaining services (by <u>contracting</u>, or other means) of a third party that were not approved as part of the original project application
   - Purchase of equipment not approved in the original project application

4) **What other consequences can result from a failure to comply with federal requirements?**
Compliance failures can trigger withholding of grant funds, a call for return of grants funds, a suspension of grant funds, or a termination of the grant award. The decision to impose any of these remedies rests with SCSL.

5) **How do I request LSTA payments for my project?**
LSTA is a reimbursable program. Complete a *Request for Reimbursement Payments* form and include proper documentation of expenditures. Send all to the Federal Grant Manager. Payments/reimbursements are made to a county treasurer for credit to a county library sub grantee, to a governmental agency for libraries within governmental agencies and to a qualifying organization or agency.

To ensure timely processing of reimbursements, it is important for sub grantees to submit requests *by or before June 1st for all expenditures completed prior to June 30th (the end of the State Fiscal Year) and by or before September 1st for all remaining expenditures. (See Grant Cycle Calendar)*

6) **Exactly what type documentation must be included with a reimbursement request form?**
Acceptable documentation of expenditures includes, but is not limited to, legible copies of:

- Invoices that show the name of the vendor, invoice number, date, description of goods and/or services, quantity, unit cost, applicable shipping and handling charges, taxes, discounts and total amount. **INVOICES MUST BE marked with the following:**

  o Words "APPROVED FOR PAYMENT" (this indicates goods and/or services have been received as ordered and in acceptable condition)
  o Contract award number, e.g., IID-07-58 (*these numbers represent budget category, funding year and sub-grantee i.d.)*
  o Amount charged to LSTA funds
  o Fiscal Officer's initials and date

  Avoid submitting duplicate invoices. When submitting numerous invoices per category, provide a summary spreadsheet by vendor, invoice number, date and amount (subtotal by vendor then by categories).

- *Personal Services Requisition* forms to document employee salaries to be reimbursed by LSTA funds. Include the name of the employee, dates covered and total personal services cost (salary and fringe benefits).
- *Personal Services Report* forms to account, on an after the fact basis, for 100% of an employee's actual time (separately indicating the time spent on the LSTA sub-grant project). The report must be signed by the employee, approved by the appropriate official and coincide with a pay period.

- Copies of a contract must be attached for reimbursement of contractual costs. Formal agreements with independent contractors, such as consultants, must be attached and must include a description of the services to be performed, the period of performance, the fee and method of payment, an itemization of travel and other costs which are chargeable to the agreement, and the signatures of both the contractor and an appropriate official of the sub-grantee organization.

The following reimbursement documentation is NOT ACCEPTABLE:

- Personal credit card receipts, **except** for related travel reimbursement *(contact the Federal Grant Manager to explain special circumstances)*
- Purchase orders *(A vendor statement is required if a purchase order is the only billing form provided.)*
- Proforma invoices indicating financial information that gives effect to an assumed event.
- Packing slips *(If the vendor's billing system provides only packing slips, include a copy of a statement from the vendor indicating this.)*

7) **What if my library or organization is unable to make project expenditures without receiving an LSTA payment first? May I request an advance?**

Advance payments are available only for personal services costs outlined in an approved project application**.** Documentation is required and both the *Personal Services Requisition and Personal Services Report* forms must be submitted.

A *Request for Special Advance* form must be completed for any other type of advance payment need. Additional documentation is required. **Contact the Federal Grant Manager and discuss your need before submitting this type request**. Final approval of this type of request is at the discretion of the State Librarian.

8) **What about travel reimbursements?**

Expenses for transportation, lodging, subsistence and related items incurred by those who are on official business related to work under an LSTA project are reimbursable. A completed *Travel Support* form is required.   See the *Travel Support Document Instructions*. Receipts are required for**:** (a) lodging (b) air or other transportation *(costs in excess of the lowest available commercial discount or customary standard coach airfare are unallowable)* (c) registration fees (d) parking and (d) meals (per the state per diem schedule).

NOTE: Such costs may be charged on an actual basis, on a per diem or mileage basis in lieu of actual costs, or on a combination of the two, provided the method used results in charges consistent with those normally allowed by the State of SC in its regular operation of State Government.

Incidental expenses such as fees and tips given to porters, baggage carriers and bellhops shall be considered reasonable and allowable only to the extent such costs do not exceed charges normally allowed by SC State Government. **Incidental expenses unallowable under LSTA are not reimbursed** *(See OMB Circular A-87)***.**

LSTA PROJECT EVALUATION REPORTS

Evaluation reports are required. Sub grantees must prepare both an interim and a final project report. Both should document the success of achieving performance goals and should explain and describe all instances where performance goal(s) are not met. *(See the Grant Cycle Calendar for report due dates)*

Evaluation reports must (a) describe outcomes as benefits to a project's targeted group (b) document observations that credibly demonstrate change or desirable conditions and (c) communicate the value and quality of the LSTA project. To document "life changing" stories, answer these questions, (1) What happened because of the program and (2) What impact did it have. (*See IMLS' Outcome Based Evaluation* (OBE) *overview at http://www.imls.gov/applicants/overview.shtm.*)

Preparing your INTERIM report

Use the LSTA *Report and Evaluation* form. Supply all information requested. ***If at this stage there are no preliminary figures for the number of persons benefiting directly from your project, indicate "none to date."*** When calculating a figure, ideally, each person should be counted only once even though he or she may have used the service several times.

If at this stage there are no expenditures, indicate "none to date." Otherwise, use the appropriate columns on the form to indicate LSTA, State Aid, local and any other matching funds expended to date. If in-kind contributions are a significant factor in your project, use the report narrative to specify which dollar amounts are in-kind contributions vs. cash expenditures.

A narrative summarizing your project results and accomplishments to date must accompany your report and evaluation form. If it is not possible at this stage to address all required narrative sections (*see final report guidance*), simply address those sections applicable to your progress at this stage. Indicate any circumstances that are affecting progress (negatively or positively) toward accomplishing project objectives.

Preparing your FINAL Report Narrative

Use the same LSTA "Report and Evaluation" form used for interim reporting. Check **final report.** The form must be completed in its entirety. Include a project narrative with the following:

A. **Summary of overall purpose of the project.** Answer the questions: what we do, for whom, and for what expected outcome or benefit. **If there are no changes from the original project application narrative, note such and proceed to item (B).**

B. **Project Activities**. Describe how the project was carried out. Review each specific project objective and describe important related activities and circumstances that affected the achievement of, or failure to achieve, each objective. If the project objectives were significantly surpassed or not met, the activity summary should include an explanation.

C. **Description of project results**
Outcomes involve a change in the target audience's skills, knowledge, behavior, attitude, status or life condition. Document the degree to which your project has met its goals in terms of creating these benefits for individuals. Include a description of the ways outcome information was gathered, such as through a survey, focus group sessions, pre- and post-tests given in training or other systematic measures of intended outcomes.

Anecdotal Information -- Include client stories, reports of comments, feedback and observations about how people used and benefited from the products or services resulting from the project. **Any project can, and should, include anecdotal information—it "puts a face" on the project's work.** The information that is reported in this section is informal in nature.

Document your project's **outputs**, i.e., measures of the volume of a program's activity such as products created or delivered, people served or activities/services carried out. Outputs are almost always numbers. Also report the total value of in-kind contributions (goods and services) of significant factor in the success of the project**.**

Other results – Report any other significant results not covered elsewhere.

D. **Exemplary Reason**. Do you consider your project to be worthy of the IMLS "exemplary" status? If no, skip this item and proceed to item (E). If yes, describe the factors that you consider merit selection of the project as exemplary, such as innovation and vision, impact on target audience, serving new population group or worthy of replication by others.

Preparing your FINAL Report Narrative (continued)

E.   **Ongoing Activities.** Describe the methods that will be used to continue services or resources that resulted from your LSTA funded project.

F.   **Summary comments**. Use this section for any additional comments you desire to make about your report, e.g., advice to others considering similar projects.

G.   **Single copies of publicity materials**. Sub grantees should, to the extent possible, include one copy of each LSTA project related publicity item, e.g., individual newspaper articles, press releases or brochures. **If there are related online links to your PR materials, please reference them instead or providing copies of the actual PR items**.

SUBMITTING LSTA REPORTS AND FORMS

Original signature copies are required for all LSTA forms:
Send one copy of each to

Guynell Williams, Federal Grant Manager
SCSL, P.O. Box 11469
Columbia SC 29211-1469

LSTA narrative reports may be sent electronically to gwilliams@statelibrary.sc.gov

APPENDICES

LSTA FORMS

Throughout the LSTA Sub Grant process, applicants and award recipients are required to submit specific forms which are available at http://www.statelibrary.sc.gov/index.php?option=com_content&task=view&id=263&Itemid=675.

WRITING MEASURABLE GOALS AND OBJECTIVES

Goals and objectives are closely related, but a little different. Think about your goal as a long-term target. Objectives are the components or steps you'll need to get there. **Good goals are:** (a) Specific (b) Measurable (c) Achievable (d) Realistic (e) Time-bound.

Most goals will be about changing something or making it better. Your action word will describe what your subject is expected to do. Your goal will be a sentence that describes the outcome you want and the situation that will exist when the goal is accomplished.

Measurable objectives state (a) who is involved (*people whose behaviors, knowledge, and/or skills are to change);* (b) the desired outcomes *(intended changes that should result from activities);* (c) the methods, tools or devices *(tests, surveys, data sources)* to be used to measure progress/expected changes; (d) the criteria for success; and (e) when the outcome will occur *(time frame for success)*.

TARGET GROUP DESCRIPTORS

Use this chart to assist in the development of your LSTA target group description. Primary User(s) are the people who will use the products or services provided under an LSTA funded project.

Primary User Descriptors	Secondary User Descriptors
Adults	
Children	Disadvantaged children
Institutionalized persons (includes people in correctional, hospital, and penal institutions)	
Library staff and volunteers	
Non/limited English speaking persons	
People with special needs (includes children)	Blind and visually-impaired persons Deaf and hearing-impaired persons Developmentally disabled Homebound persons Other (Specify)
Pre-school children	
Public library trustees	
Rural populations	
Senior citizens	
Statewide public	
Urban populations	
Young adults and teens	

SERVICE DESCRIPTORS
Use this chart to assist with describing the type of service to be provided by your LSTA sub grant project.

PRIMARY SERVICE DESCRIPTORS	SECONDARY SERVICE DESCRIPTORS
Continuing education for the public	Distance education (includes web-based training) Lifelong learning
Cultural heritage programs	Local history Preservation
Digitization and digital library projects	Digitization Digital library projects
Economic development	Job and career services Small business services
Education-related services for children and teens	After school programs Home schooling Homework centers Pre-school programs Reading development Reading readiness Summer reading programs
Information access and services	Business information services Collection development Community information services Database access E-books Government information services and archives Health information services Information & referral (I&R) Local information Reference services Statewide database licensing
Institutional library services	Correctional library services (e.g., jails and detention centers) Hospital library services (includes long term care facilities, mental health hospitals, VA hospitals) Prison library services
Intergenerational programs	*There are no secondary descriptors*
Interlibrary loan	Document and materials delivery Resource sharing
Library development	Community and user studies Marketing/promotion of library services Strategic planning
Literacy programs	Adult literacy ESL programs Family literacy

SERVICE DESCRIPTORS (continued)

PRIMARY SERVICE DESCRIPTORS	SECONDARY SERVICE DESCRIPTORS
Mobile services	Bookmobile services Cybermobiles Daycare vans
Outreach services	Books-by-mail Homebound services Services to ethnic and cultural groups Special needs services
Software and equipment	Adaptive technology Computers & peripherals
Staff development, education and training	Customer services skills Library science education and skills Management skills Technical skills
Technology infrastructure	Computer hardware and software Integrated library systems Intranets and extranets LAN/WAN projects Telecommunications and networking hardware and software
Training for the public	Computer training Database training Information literacy Internet training Technology training
Virtual library services	Portals and related Web projects Virtual reference service Virtual union catalogue

EVALUATION METHODS
(The following information is adapted from guidance documents prepared by IMLS. For more information see http://www.imls.gov/applicants/learning.shtm.)

The first step in choosing an evaluation method is deciding why to do it. This table, prepared by IMLS, shows the four most common categories of messages about libraries and provides some of the models for collecting information that typically support them.

Message	Evaluation Strategy
How Much We Do	Inputs and outputs: statistics, gate counts, Web use logs, and other measures of quantity and productivity
How Well We Do It	Customer satisfaction, quality benchmarks, rankings
What Good We Do/Why We Matter	Outcomes measurement, impact assessment
How Much We Cost/What We're Worth	Return on investment and cost: benefit calculations

Although all the above messages and approaches (as well as others not listed) are valid, **the best evaluation strategy depends on**:
- the most important things you want the information to help you do or show,
- those you hope will use the information and how you want them to use it, and
- what you can afford or are willing to do.

Once you make these choices, identifying an evaluation approach becomes much easier.

Traditional methods document productivity—resources used, people served, services provided. Although statistics tell only a part of the story, they are still important and valuable.

- **Input measures** quantify the resources that libraries have available to provide library services, e.g., size of collection.
- **Output measures** quantify what libraries actually produce with the inputs, e.g., number of hits on a library's web site.

Through combining customer satisfaction measures with the above, libraries are able to show the human meaning of statistics.

What is outcome evaluation?

Outcome measurement answers the questions, "what difference do we make?" and "how are the lives of the project participants better as a result of the library's program?" IMLS defines outcomes as benefits to people: specifically, achievements or changes in skill, knowledge, attitude, behavior, condition, or life status for program participants. Outcome-based evaluation, "OBE," is the measurement of results. It identifies observations that can credibly demonstrate change or desirable conditions. It systematically collects information about these indicators, and uses that information to show the extent to which a program achieved its goals. Outcome measurement helps communicate the value and quality of the work of libraries to many audiences beyond IMLS.

Steps to incorporate outcomes evaluation:

1. Develop the outcomes strategy with key people and build an action time line.
2. In user satisfaction surveys, ask customers to indicate ways in which information from the library affected key decision-making areas.
3. Use focus groups and observation of the everyday world of library customers. Identify observable and measurable behaviors or conditions. For example, a project designed to allow a library to share on-line history resources may have an intended outcome of increasing the comfort level of teachers with using the new on-line resources. The indicator is the # and % of teachers who report feeling at least 50% more at ease with using the new resource.
4. Keep a record of situations in which individual customers have told you about how they used information from the library. Ask the customer to send a brief email or note about it.
5. Use the interview method to fully understand a customer's impressions or experiences.
6. Use the observation method to gather information about how a program actually works. This method can adapt to events as they occur.
7. Collect outcome information at specific intervals, e.g., every 6 months, at the end of an activity or phase, at follow-up, or at program start and end for comparison when increases in skill, behavior, or knowledge are expected.

PUBLICIZING YOUR LSTA SUB GRANT AWARD: GENERAL GUIDELINES

The Institute of Museum and Library Services (IMLS) requires public acknowledgement of all activities supported by LSTA funds. The Institute has a logo and tag line that should be used in acknowledging its support. The tag line follows and may be used with or without the IMLS logo:

> *The Institute of Museum and Library Services, an independent federal agency that grows and sustains a "Nation of Learners," because lifelong learning is critical to success.*

In addition to acknowledging IMLS, sub grantees should also credit the South Carolina State Library in all related publications. Suggested wording:

> *Publication of this document is funded by the South Carolina State Library under the Library Services and Technology Act, P.L. 108-81, as amended, through the Institute of Museum and Library Services.*

If an LSTA funded project results in products, such as bibliographies, manuals, or videotapes, the product must be made available to other South Carolina libraries through interlibrary loan or by the provision of a copy at no cost.

Include IMLS and South Carolina State Library logos on all related LSTA funded project publicity materials.

Logos are available online at <u>http://www.state.sc.us/scsl/images/index.html</u> and *http://www.imls.gov/recipients/logos.shtm*.

IMLS Acknowledgement Guidelines for Projects Supported By LSTA Funds	
Public Events	Acknowledge IMLS verbally. Display the IMLS logo on signage.
Press Events	Acknowledge IMLS orally. Acknowledge IMLS on press kits and in press releases.
Printed Materials	For posters, use a size for which the words "Institute of Museum and Library Services" are legible from a distance. For press kits and press releases, annual reports, newsletters, etc., the logo should be legible and no smaller than 1.75" wide.
Web Sites	Acknowledge IMLS on your Web site.

ADMINISTRATIVE GUIDANCE FOR SUB GRANTEES

LSTA LEGAL REFERENCES

See **http://www.imls.gov/recipients/references.shtm.**

ALLOWABLE AND UNALLOWABLE COSTS - TIP SHEET
CIRCULAR 87 COST PRINCIPLES - *Compiled by M. Farrell, Senior Program Officer, IMLS 09/05*

When deciding whether a cost is allowable, please refer to Circular A-87 for full legal details.

Generally Allowed Costs	Generally Unallowable Costs
Advertising & public relations*	Alcoholic beverages
Advisory councils	Bad debts*
Audit costs and related services	Contingency provisions
Bonding costs	Donations and contributions
Communication costs	Entertainment costs
Compensation for personnel services	Fines and penalties*
Depreciation and use allowances*	Fund raising and investment management costs*
Employee morale, health, and welfare costs	Gains and losses on disposition of depreciable property and other capital assets and substantial relocation of federal programs
Equipment and other capital expenditures	General government expenses*
Insurance and indemnification*	Goods or services for personal use
Maintenance, operations, and repairs*	Idle facilities and idle capacity*
Materials and supplies	Interest*
Meetings and conferences	Lobbying
Memberships, subscriptions, and professional activity costs*	Professional service costs*
Patent costs*	Selling and marketing*
Pre-award costs*	
Proposal costs	
Publication and printing costs	*This chart is only meant to provide a quick overview of allowable and unallowable costs. See below for expanded definitions.*
Rearrangements and alternations*	
Reconversion costs	
Rental costs of building and equipment*	
Taxes*	*Asterisks (*) indicate there are exceptions to the rule.*
Training	
Travel costs*	
Plant and homeland security costs*	
Royalties and other costs for the use of patents*	
Termination costs applicable to sponsored agreements*	

***Allowable/Unallowable Costs* – Glossary/Expanded Definitions**

For additional information, see Office of Management and Budget (OMB) Circular A-87, "Cost Principles for State, Local, and Indian Tribal Governments" at http://www.whitehouse.gov/omb/circulars/a087/a87_2004.html).

Advertising and Public Relations Costs --   **Advertising and public relations costs are allowable (a) only** for purposes specifically necessary to meet the requirements of your Federal award; (b) **when** incurred to communicate with the public and press pertaining to specific activities or accomplishments that result from performance of the Federal award; and **(c) when** necessary to conduct general liaison with news media to the extent that such activities are limited to communication and liaison necessary to keep the public informed on matters of public concern, such as notices of Federal contract/grant awards. **Costs of advertising and public relations designed solely to promote a library, governmental unit or organization are unallowable, as are promotional incentives of any kind, including memorabilia models, gifts and souvenirs.**

Contractual services are professional services performed by an individual not on the library's regular payroll or who is not directly supervised by library staff. Contracts for services should be budgeted under the category "other expenditures."

Equipment **--**   Generally LSTA funds may not be used to replace equipment already owned or leased by an applicant except for bookmobiles and information technology. Exceptions to this are handled on a case-by-case basis.
- Purchase of tangible non-expendable personal property having a life of more than one year and an acquisition cost of at least $5,000 requires prior approval by IMLS and SCSL.

Food and Beverages **--**   Costs for food and beverages are **allowable only when** incurred as part of the costs of meetings and conferences where the primary purpose is the dissemination of technical /instructional information. **When not associated with the dissemination of technical information, the cost of food and beverages for programs and business meetings falls under the category of entertainment and is unallowable, as are all other entertainment costs, including incentives**. *(Also see "Travel" and "Advertising/PR")*

Library Materials **--** Allowable costs include books, periodicals, newspapers, documents, pamphlets, photographs, reproductions, microforms, pictorial works, graphic works, musical scores, maps, charts, globes, sound recordings, processed video and magnetic tapes, computer software, materials designed specifically for the handicapped, and other materials added to the collection to be used by or to serve the public. **Materials acquired for administrative support are unallowable.** An LSTA application must identify the type of materials to be purchased, the quantity of each type of material, the area(s) of the collection, the unit cost and the total cost.

Allowable/Unallowable Costs – Glossary/*Expanded Definitions* *(continued)*

Non-Reimbursable Expenditures -- Includes any expenditures for activities not budgeted in the approved sub grant, any expenditures that were obligated or were incurred prior to the approval of the project and/or project revision, and any expenditures that exceed any budget categories by more than 25% without prior approval.

Other Expenditures -- For sub grant purposes, "Other Expenditures" include contractual services, travel, supplies (both office and program supplies), printing, postage, training, and all other costs except personal services, library materials and equipment. The application narrative must provide a breakdown and justification for "Other" expenditures.

Personal Services -- This includes salaries, wages, and associated fringe benefit-costs. Contracts for services should be budgeted in the "Other" category. Sub grant funds may not be used to replace local, state or other personal services funds. The application narrative must provide a breakdown and justification for all Personal Services. Copies of position description(s) for each position funded with sub-grant funds should accompany the application or a statement indicating such is already on file at the South Carolina State Library.

Printing **--** When materials (newsletters, flyers, bibliographies, materials for workshops) are printed/published or distributed and those **costs are claimed as part of the project** (matching funds as well as sub grant funds), include a copy of the item(s) produced with your request for reimbursement.

Procurement -- All goods and services purchased with sub grant funds must conform to applicable federal law and standards (34 CFR 80.36), South Carolina Law (Act 283 of 1975), and local requirements.

Repair and Maintenance -- Maintenance charges for equipment purchased under the sub grant (not to exceed one year contracts) to keep equipment in good operating conditions can be paid with sub grant funds. After the conclusion of a sub grant project, costs of operation and maintenance of equipment is a local responsibility.

Supplies -- All tangible personal property other than equipment directly related to the sub grant.

**Allowable/Unallowable Costs – Glossary/*Expanded Definitions* *(continued)*

<u>Travel</u> **in direct support of LSTA project objectives**

- Travel expenses incurred specifically to carry out an award are considered direct costs.
- Travel costs are allowable for expenses for transportation, lodging, subsistence (meals), and related items incurred by employees traveling on official business relevant to an LSTA project. Such costs may be charged on an actual cost basis, on a per diem or mileage basis in lieu of actual costs incurred, or on a combination of the two, provided the method used is applied to an entire trip, and results in charges consistent with those normally allowed in like circumstances in non-federally-sponsored activities.
- Costs incurred for travel, including costs of lodging, other subsistence, and incidental expenses (fees and tips given to porters, baggage carriers, bellhops and the like), shall be considered reasonable and allowable only to the extent such costs do not exceed charges normally allowed by the governmental unit in its regular operations as a result of the governmental unit's policy.
- Airfare costs in excess of the customary standard (coach or equivalent) airfare, are unallowable except when such accommodations would:
  - require circuitous routing,
  - require travel during unreasonable hours,
  - excessively prolong travel,
  - greatly increase the duration of the flight,
  - result in increased cost that would offset transportation savings, or
  - offer accommodations not reasonably adequate for the medical needs of the traveler.

<u>Travel Reimbursement</u>

- Travel reimbursement for all or any of the above is limited by the State of South Carolina rates in effect at the time the expense is incurred.
- Libraries may not reimburse for travel associated with sub grant activities at a rate that is greater than that allowed for other library activities.
- Supporting documentation for travel must be submitted on forms requested by SCSL.

Accounting Systems

It is important that sub grantees understand their administrative responsibilities for proper management of an LSTA award. Sub grantees are required to:

- Have an accounting system that provides accurate, current, and complete disclosure of all financial transactions related to each LSTA project.

- Identify, in accounts, all LSTA funds received and expended and the Federal program under which awards were received. Federal program and award identification shall include, as applicable, the CFDA title and number (CFDA No. 45.310), award number and year, name of the federal agency (IMLS), and name of the pass-through entity (South Carolina State Library). *(CFDA - Catalog of Federal Domestic Assistance, http://www.cfda.gov/)*

- Maintain records of expenditures to facilitate an effective audit. Accounting records must contain authorizations, obligations, unobligated balances, assets, liabilities, outlays or expenditures and income. These records must be maintained on a current basis and must be supported by source documentation such as canceled checks, paid bills, vouchers, invoices, payroll (time and attendance records), etc. Separate sets of cash control ledgers must be maintained for each fund and project. Documentation for salary changes shall be based on a system of personnel activity reports.

- Provide authorized state and/or federal representatives access to the project site, books, documents, papers, and all other records pertinent to the sub grant for audit examination purposes and to ensure program compliance.

- Maintain effective control and accountability for real and personal property and other assets and adequately safeguard all such property and assure that it is used solely for authorized purposes.

Audits

Sub grantees are subject to the audit requirements contained in the Single Audit Act of 1996 (31 U.S.C. 7501-7507) and OMB Circular A-133 "Audits of States, Local Governments, and Non-Profit Organizations, Subpart C--Auditees, Section .310 Financial statements." An annual audit must be performed, reviewed by the appropriate library official and submitted to the South Carolina State Library thirty (30) days after receipt of the auditor's report(s) or no later than nine (9) months after the end of the audit period.

If a sub grantee's audit does not document the receipt and expenditure of funds by source, a supplemental schedule of expenditures by source of funds reconciled to the audit must be submitted. Include the sub grantor name (South Carolina State Library), CFDA number, and grant award number for each project. SCSL's *Audit Schedule of Revenues and Expenditures* supplemental form *(this is the same form that is used for State Aid audit reporting)* is available online. **A sub grant project is not closed out until all required audit documents are submitted and approved by SCSL**.

Sub grantees must take corrective action on audit findings, including preparation of a summary schedule of prior audit findings and a corrective action plan in accordance with OMB Circular A-133, Subpart C--Auditees, Section .315 Audit findings follow-up.

Records Retention

Sub grantees must comply with records retention (45 CFR 1183.42) requirements. All financial and programmatic records, supporting documents, statistical records and other records pertinent to an LSTA sub grant must be retained for three (3) years from the day the sub grantee submits its last expenditure/audit report to SCSL. If any litigation, claim, negotiation, audit or other action involving the record has been started before the expiration of the 3-year period, the record must be retained until completion of the action and resolution of all issues which arise from it, or until the end of the regular 3-year period, whichever is later. During the retention period, SCSL, IMLS, the Comptroller General of the United States, or any of their authorized representatives, shall have the right of access to any books, documents, papers, or other records pertinent to an LSTA sub grant.

Equipment purchased with LSTA funds

- Equipment shall be used by the sub grantee in the program or project for which it was acquired as long as needed, whether or not the project or program continues to be supported by Federal funds.

- When acquiring replacement equipment, the sub grantee may use the equipment to be replaced in trade-in or sell the property and use the proceeds to offset the cost of replacement property, subject to approval of SCSL.

- Property records must be maintained that include a description of the property, a serial number or other identification number, the source of property, the acquisition date and cost of the property, the location, use and condition of the property and any ultimate disposition data including the date of disposal and sale price of the property.

- A physical inventory of the property must be taken and the results reconciled with the property records at least once every two years.

- When original or replacement equipment acquired under the sub grant is no longer needed for the original project or program or for other activities currently or previously supported by federal funds, disposition of the equipment will be made as follows:

  - Items of equipment with a current per unit fair market value of less than $5,000 may be retained, sold or otherwise disposed of with no further obligation to the awarding agency.
  - Items of equipment with a current per unit fair market value in excess of $5,000 may be retained or sold and the awarding agency shall have a right to an amount calculated by multiplying the current market value or proceeds from sale by the awarding agency's share of the equipment.